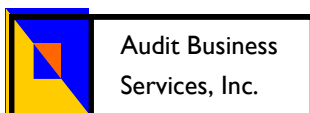


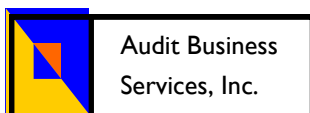
COMPLIANCE LOGBOOK TY2017

1. TY 2016 Statement Mailing Procedures and Proof Mailing
2. TY 2016 Return Filing Procedures and Proof of Filing
3. TY 2017 Form W-9 Initial Solicitation Procedures and Sample Form
4. Spring B-Notices CP2100 for TY 2015
5. Annotated Listing of Spring B-Notices Showing Research Results
6. Fall B-Notices CP2100 for TY 2016
7. Annotated Listing of Fall B-Notices Showing Research Results
8. Proposed Penalty Assessment Notice (972 CG for FY 2015 (\$50 Penalties)
9. Annual Solicitation for Missing or Incorrect TINs (Other than B-Notices)
10. Training Log
11. List of Companies for Which Information Reporting is Performed
12. Memos and Correspondence



TY 2016 Return Filing Procedures and Proof of Filing 2

Use the **Return Filing to IRS** and the **Request for Extension of Time to File Forms 1099 to IRS (Form 8809)** tracking sheets to describe the steps you took to create the filing you sent to the IRS and state or other tax authorities, and show proof that you filed timely; no later than Monday, March 2, 2017 for paper forms sent to the IRS; or no later than March 31, 2017 for electronic files transmitted to the IRS FIRE System.



Return Filing to IRS

Tracking Sheet (page 1 of 2)

Returns sent to IRS in following manner (check one):

Paper Forms

Electronic Filing (F.I.R.E. System)

Filing Deadline (before any Form 8809 extension): ____/____/____

(2017 regular deadline for paper = March 1; electronic—March 31)

Was Form 8809 filed for 30-day extension? Yes* No

***If yes, Actual Filing Deadline with extension:** ____/____/____

(see "Request for Extension of Time to File Forms 1099 to IRS (Form 8809) Tracking Sheet:" for details)

VERIFICATION

Were returns sent to IRS by due date: Yes No

If "Yes", Proof of Timely Filing: If using electronic filing, we printed log of the online session where the IRS confirmation of correct filing message was displayed. If filing by paper sent through the mail, we maintained a certified mail receipt or other proof of timely mailing.

Proof is maintained at: _____

Signed off by:

Name _____ Title _____

Department _____ (Employee ID#, if applicable) _____

(If no, returns were filed late, explanation of why returns were filed late maintained at: _____)

Additional Verifications:

IT Department sign-off that all required program updates were applied, as per Pub 1220.

Signed off by: Name _____ Title _____

Date ____/____/____

- Print out of Sample Records: Prior to filing, **IT personnel**, OTHER THAN person responsible for making the program updates, reviewed a print out of sample records and verified that the fields aligned in the correct column positions to match Pub. 1220 description for each of the type of record types (T, A, B, C, K and F).

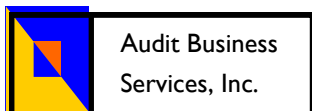
Signed off by: Name _____ Title _____

Date ____/____/____

- Verification of matching: **IT personnel** verifies that randomly selected records have been compared to the values from the originating source accounting system files to verify that taxpayer name, taxpayer I.D.#, account number, dollar amount, and address have matching values.

Signed off by: Name _____ Title _____

Date ____/____/____



Additional Verifications:

- Verification of Withholding Matching: Finance Department (or other department, as applicable) verifies that any federal and state withholding amounts reported in this filing match amounts remitted to U.S. Treasury or state tax authority throughout the year, and match totals reported on annual Form 945 or corresponding state filing.

Signed off by: Name _____ Title _____
Date ____/____/____

- Log of computer job run to create electronic file: The job control language or computer run instructions are stored at: _____
(Include sufficient detail so that the job can be rerun for identical results.)

Signed off by: Name _____ Title _____
Date ____/____/____

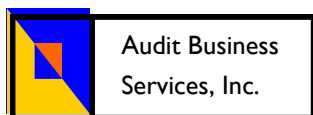
- Step by step description of operational flow to create the electronic file: A detailed description of additional manual processing steps or adjustments that are performed is maintained at:

Signed off by: Name _____ Title _____
Date ____/____/____

- Location of saved copy of electronic file sent to IRS stored at: _____

(We maintain a copy of this file for at least seven years, unless we receive a sign-off from our Tax Department. If there are changes in hardware or software during the retention period, we make provisions to retain the ability to produce a readable copy of the file sent to IRS, in accordance with lrs electronic recordkeeping requirements.)

Signed off by: Name _____ Title _____
Date ____/____/____



Request for Extension of Time to File Forms 1099 to IRS (Form 8809)

Tracking Sheet

Form 1099 filing for Tax Year _____ (File will be sent to IRS in calendar year _____)

Our organization will file returns to IRS using the following method:

- Paper Forms Electronic Filing (F.I.R.E. System)

Original Deadline for filing returns (before any extension): ____/____/____

VERIFICATION

Method used to send Form 8809:

- U.S. Mail (certified) Private delivery service Electronic (over F.I.R.E. system)

Verification of receipt of Form 8809 by IRS maintained at: _____

Date Form 8809 was sent/delivered/transmitted to IRS: ____/____/____

(must be sent or transmitted to IRS no later than original filing deadline.)

EXTENDED deadline due to filing of Form 8809: ____/____/____

*(The extended deadline is 30 calendar days later than original filing deadline. However, if original deadline falls on a weekend, or federal holiday, start counting from the next business day to calculate 30-day extension filing deadline. **The first 30-day extension request is automatically approved when a Form 8809 is sent/transmitted to IRS.**)*

Signed off by:

Name _____ Title _____

Department _____ (Employee ID#, if applicable) _____

Was a Second 30-day extension request sent to IRS (on top of first, automatic 30-day extension*)?

- Yes (If yes, explain date sent, method of delivery, and method of receipt verification)
 No

*A second request to get another 30-day extension requires you to state in detail why you need an additional extension. This excuse is to be entered in box 9 of the Form 8809 (rev. Sept 2016). Note that the IRS rarely grants second extensions. Possible reasons that may qualify for the second extension include such serious circumstances as fire, flood, death or serious illness of key personnel, computer system failure, etc. — although even these excuses are no guarantee of an extension.

